

Chapter 4

Getting Started

Before money is raised or spent in connection with an election, the candidate and committee treasurer should become familiar with the various campaign disclosure forms applicable to the type of campaign or committee involved.

Candidates and Controlled Committees

Candidates must file the Candidate Intention (Form 501) **before raising or spending any money**, including the candidate's personal funds. (Personal funds of the candidate may be used to pay filing or ballot statement fees prior to filing Form 501.) Subsequent filings depend upon the amount that will be raised or spent.

If **any** monetary contributions will be received from others, a separate campaign bank account must be opened. (See Chapter 1.)

Less than \$1,000

If less than \$1,000 will be raised or spent in a calendar year, including the candidate's personal funds, the Officeholder/Candidate Campaign Statement—Short Form (Form 470) may be filed by the candidate once each year. However, if after filing the Form 470, \$1,000 or more is received or spent, the Statement of Organization (Form 410) and the Recipient Committee Campaign Statement (Form 460) must be filed. The Form 470 Supplement may also be required.

Personal funds of the candidate used to pay filing or ballot statement fees are not counted toward the \$1,000 threshold.

\$1,000 or More

Candidates who will raise or spend \$1,000 or more in a calendar year must:

- File the Form 501;

- Set up a bank account;
- File the Statement of Organization (Form 410) within 10 days of raising or spending \$1,000 or more; and
- File the Recipient Committee Campaign Statement (Form 460) disclosing receipts and expenditures. (See Chapter 6.) Additional reports also may be required. (See Chapter 7.)

Primarily Formed Committees

A primarily formed committee must file the Statement of Organization (Form 410) within 10 days of raising or spending \$1,000 in a calendar year.

Depending on the committee's level of activity, the Form 425, 450, or 460 is used to report campaign activity. (See Chapter 6.) Additional reports also may be required. (See Chapter 7.)

Primarily formed committees do not file Forms 501 or 470.

Form 501 Candidate Intention Statement

Candidate Intention Statement		Type or Print in Ink.	Date Stamp	CANDIDATE INTENTION STATEMENT CALIFORNIA FORM 501 For Official Use Only
Check One: <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Amendment (Explain) _____				
1. Candidate Information:				
NAME OF CANDIDATE (Last, First, Middle Initial) Tyme, Sunny	DAYTIME TELEPHONE NUMBER (555) 333-7421	FAX NUMBER (optional) (555) 333-7621	E-MAIL (optional) Styme@aol.com	
STREET ADDRESS 200 McFadden Street	CITY Playa del Sol	STATE CA	ZIP CODE 95888	
OFFICE SOUGHT (POSITION TITLE) City Council	AGENCY NAME Playa del Sol	DISTRICT NUMBER, if applicable 1	<input checked="" type="checkbox"/> NON-PARTISAN PARTY:	
OFFICE JURISDICTION: <input type="checkbox"/> State (Complete Part 2.) <input checked="" type="checkbox"/> City <input type="checkbox"/> County <input type="checkbox"/> Multi-County: _____ (Name of Multi-County Jurisdiction)				
20XX (Year of Election)				
2. State Candidate Expenditure Limit Statement: (CalPERS candidates, judges, judicial candidates, and candidates for local offices are not required to complete Part 2.)				
(Year of Election) Primary/general election (Year of Election) Special/runoff election				
(Check one box) <input type="checkbox"/> I accept the voluntary expenditure ceiling for the election stated above. <input type="checkbox"/> I do not accept the voluntary expenditure ceiling for the election stated above. Amendment: <input type="radio"/> I did not exceed the expenditure ceiling in the primary or special election held on: ____/____/____ and I accept the voluntary expenditure ceiling for the general or special run-off election. <input type="radio"/> On ____/____/____, I contributed personal funds in excess of the expenditure ceiling for the election stated above.				
(Mark, if applicable)				
3. Verification: I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed on [Date Required] _____ Signature [Signature Required] _____ (month, day, year) (Candidate)				

Candidate Intention (Form 501)

When and Where to File

Before any contributions are solicited or received, and before any campaign expenditures are made from personal funds, candidates must file Form 501. A new Form 501 must be filed for each election, even if the candidate is running for reelection.

Superior Court candidates file with:

Secretary of State
Political Reform Division
1500 11th Street, Suite 495
Sacramento, CA 95814

Candidates for other local offices file Form 501 with the local filing officer (city clerk, county clerk/registrar of voters) with whom the candidate will file his or her original campaign statements. (See Chapter 5.)

The Form 501 is considered filed when it is placed in the mail. The date of postmark is the date filed.

How to Complete Form 501

Type of Statement

Check one of the following boxes indicating the type of statement being filed:

- Initial — If this is the first Candidate Intention Statement being filed for this election.
- Amendment — If any change occurs on a previously filed Form 501; for example, a change of address.

Candidate Information

Provide the candidate's full name, street address, and a daytime telephone number. (A business address may be used.) Providing a fax number or e-mail address is optional.

Office Sought

Enter the title of the office sought, e.g., Supervisor.

District Number

Enter the district number or letter, if applicable.

Office Jurisdiction

Check one box indicating the jurisdiction of the office being sought and enter the name of the city or county, if applicable.

- Multi-County — Candidates seeking an elective office where the jurisdiction of the agency contains parts of two or more counties. (This does not include candidates for the Legislature, State Board of Equalization, or appellate or superior court. See FPPC's Information Manual for State Candidates (Manual 1).)
- County of — Candidates seeking an elective county office (including superior court judge and most school board members). Provide name of county.
- City of — Candidates seeking an elective city office. Provide name of city.

Year of Election

Enter the year of the election for the office being sought. Month and day are not required.

State Candidate Expenditure Limit Statement

This section does not apply to local candidates; it applies only to candidates for State Assembly and Senate, and candidates seeking statewide office.

Verification

Form 501 is not considered filed if it is not signed.

Answering Your Questions

- Q. *Am I required to file a document to withdraw as a candidate?*
- A. The FPPC does not administer the laws which govern what candidates must do to

appear on a ballot or to remove their names from a ballot. Contact your local filing officer.

- Q. *Am I required to file Form 501 if I will set up a committee to fight my recall?*

A. No.

- Q. *Am I required to file a Form 501 if I am a replacement candidate in a recall election?*

A. Yes. Replacement candidates must file a Form 501.

- Q. *Am I required to file Form 501 when I run for reelection to the same office?*

A. Yes. If you seek reelection to the same office, you are required to file an "Initial" Form 501 prior to raising or spending any money for the new election.

- Q. *When may I begin to solicit and raise funds for my election?*

A. You may solicit and receive funds as soon as you have placed the Form 501 in the mail.

- Q. *Are candidates who are seeking election to a particular district or seat, e.g., city council or a community college board of trustees, required to specify the district/seat on the Form 501?*

A. Yes. Each district/seat on the city council or the community college board of trustees is considered a specific office. Note: The "district number" is not applicable for candidates running for mayor or city council at large.

- Q. *I have completed the process to be an official write-in candidate. Do I have any reporting obligations?*

A. Yes. You have the same reporting obligations as any other candidate.

Officeholder and Candidate Campaign Statement – Short Form (Form 470)

The Form 470 may be filed by a candidate or officeholder who does not anticipate raising or spending \$1,000 or more in a calendar year. Payments from the candidate's personal funds used to pay filing or ballot statement fees do not count toward the \$1,000 threshold.

Form 470 may not be used if the candidate or officeholder has an existing controlled committee established for a past election, future election, or ballot measure (including recalls).

There are special exceptions, discussed below, that apply to judges and unpaid elected officeholders (officeholders who receive salaries less than \$200 a month).

When to File

Form 470 is filed once each year on or before the filing deadline for the first semi-annual statement (July 31) or the first preelection statement filed in connection with an election, whichever occurs first. Preelection filing deadlines can be obtained from your local election official.

If the Form 470 is filed and, later in the calendar year, \$1,000 or more is raised or spent, the candidate's filing deadlines and forms will change. (See Form 470 Supplement.)

Filing Form 470 During Election Years Officeholders

If an officeholder will be listed on a ballot during the first six months of the calendar year, Form 470 (covering the year of the election) may be filed with the declaration of candidacy but must be filed no later than the filing deadline for the first preelection statement required in connection with the election. If the election will be held during

the last six months of the calendar year, the Form 470 must be filed no later than July 31. Enter the election date on this Form 470.

Non-Incumbent Candidates

If a candidate will be listed on the ballot in the first six months of the calendar year, Form 470 (covering the year of the election) may be filed with the declaration of candidacy but must be filed no later than the filing deadline for the first preelection statement required in connection with the election.

A candidate who will be listed on the ballot in the last six months of the calendar year and receives contributions or makes expenditures:

- Before June 30: Files Form 470 by July 31.
- After June 30: May file Form 470 with the declaration of candidacy, but no later than the filing deadline for the first preelection statement required to be filed in connection with the election.

Example *Non-incumbent judicial candidate Janice Chambers is listed on the November ballot. She does not intend to raise or spend \$1,000 in connection with her election. By June 30, she had received no contributions and her only expenditures were for the filing and ballot statement fees paid for with her personal funds. Janice is required to file Form 470 by the first preelection filing deadline.*

Non-Election Years Officeholders

Generally, officeholders who will not be in an election during the calendar year file the Form 470 no later than July 31.

Non-Incumbent Candidates

Non-incumbent candidates who raise or spend funds less than \$1,000 during a non-election year also must file statements for

that year. The Form 470 must be filed on or before July 31 if funds are raised or spent during the first six months of the calendar year. The Form 470 must be filed on or before January 31 if funds are raised or spent during the last six months of the previous calendar year (and no funds were raised during the first six months).

Example *In November 2007, non-incumbent candidate Joe Lim spent \$400 in connection with an election in which he is seeking office; the election will be held in June of 2008. Since Joe did not raise or spend a total of \$1,000 during the calendar year, he filed a Form 470 by January 31, 2007, which covers his reporting obligations for the entire year. Joe will also file a Form 470 by the first preelection deadline for the election in 2008, assuming he will not raise or spend \$1,000 or more during 2008.*

Candidates running in an election in the first three months of the year may be required to file Form 470 in October, November, or December of the previous non-election year, as well as in the election year. The candidate should review the filing schedule provided by the filing officer.

Example *Sonja Hansen, a city council candidate, will be on the ballot in February. Her first preelection statement for this election is in December of the previous year. Since she does not intend to raise or spend \$1,000 during this calendar year, she files a Form 470 by the first preelection statement due date. The second preelection statement is due in January. Since her first Form 470 covered the period ending December 31 only, and because she does not intend to raise or spend \$1,000 during the year of the election, she files another Form 470 covering the entire calendar year of the election by the second preelection statement deadline.*

Judges and Unpaid Elected Officeholders

Unpaid officeholders (defined in the Act as those who receive less than \$200 per month for serving in office) and judges are not required to file Form 470 for any semi-annual period (January 1 - June 30 or July 1 - December 31) in which they are not listed on the ballot and do not receive any contributions or make any expenditures.

To determine whether \$200 has been received, only the elected official's fixed compensation for services (i.e., salary) need be counted; payments for health benefits, reimbursement for expenses (including travel expenses), or per diem received from the elected official's agency need not be counted toward the \$200.

This exception applies even if a judge or unpaid officeholder has a controlled committee, as long as the committee has not received any contributions or made any expenditures (excluding bank fees and interest).

Election Years

During an election year, the deadline for filing the Form 470 will depend on the date of the election. Judges and unpaid officeholders running in an election during the first six months of the year may file Form 470 (covering the year of the election) with the declaration of candidacy, but no later than the filing deadline for the first preelection statement required in connection with the election.

If the election will be held during the last six months of the year, the Form 470 must be filed by July 31 if any funds were raised or spent (other than the candidate's personal funds for a filing or ballot statement fee) between January 1 and June 30. If no contributions were received or expenditures made by June 30, the Form 470 may be filed with the declaration of candidacy, but no later than the filing deadline for the first preelection

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statement required in connection with the election.

Example *Judge Mercado is listed on the November ballot and anticipates raising and spending less than \$1,000 for his reelection. By June 30, he had received no contributions since January 1 and his only expenditures were for the filing and ballot statement fees paid for with his personal funds. The judge is not required to file by the July 31 semi-annual filing deadline, but must file a Form 470 by the first preelection filing deadline.*

Where to File Form 470

Superior Court Judge

- Original and one copy with:
Secretary of State
1500 11th Street, Ste. 495
Sacramento, CA 95814
- Two copies with the county clerk or registrar of voters.

Multi-County Office

For local offices in agencies with jurisdiction in two or more counties:

- Original and one copy with the county with the largest number of registered voters in the jurisdiction; and
- Two copies with the candidate/officeholder's county of domicile, if different from the county receiving the original.

County Office

- Original and one copy with the county clerk or registrar of voters; and
- Two copies with the candidate/officeholder's county of domicile, if different from the county receiving the original.

City Office

- Original and one copy with the city clerk.

Form 470 Officeholder and Candidate Campaign Statement

Officeholder and Candidate Campaign Statement – Short Form <small>(Government Code Section 84206)</small>		<small>Type or print in ink.</small>	<small>Date Stamp</small>	SHORT FORM CALIFORNIA FORM 470 <small>For Official Use Only</small>						
Date of election if applicable: <small>(Month, Day, Year)</small> <div style="border-bottom: 1px solid black; width: 100px; margin-top: 5px;">6/6/20XX</div>		<input type="checkbox"/> Amendment <small>(Explain Below)</small> <div style="border-bottom: 1px solid black; width: 100px; margin-top: 5px;"></div>								
1. Statement Covers Calendar Year 20 <u>XX</u> .										
2. Officeholder or Candidate Information										
<small>NAME OF OFFICEHOLDER OR CANDIDATE</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">Sunny M. Tyme</div>										
<small>STREET ADDRESS</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">200 McFadden Street</div>										
<small>CITY</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">Playa del Sol</div>										
<small>STATE</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">CA</div>										
<small>ZIP CODE</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">95888</div>										
<small>AREA CODE/DAYTIME PHONE NUMBER</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">555/333-7421</div>										
<small>OPTIONAL: FAX / E-MAIL ADDRESS</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">555/333-7621/Styme@aol.com</div>										
3. Office Sought or Held										
<small>OFFICE SOUGHT OR HELD</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">City Council</div>										
<small>JURISDICTION (LOCATION)</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">City of Playa del Sol</div>										
<small>DISTRICT NUMBER (IF APPLICABLE)</small> <div style="border-bottom: 1px solid black; width: 100%; margin-top: 5px;">1</div>										
4. Committee Information <small>List all committees of which you have knowledge that are primarily formed to receive contributions or to make expenditures on behalf of your candidacy.</small>										
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;"><small>COMMITTEE NAME AND I.D. NUMBER</small></th> <th style="width: 30%;"><small>COMMITTEE ADDRESS</small></th> <th style="width: 30%;"><small>NAME OF TREASURER</small></th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">Concerned Citizens ID #102046</td> <td style="padding: 5px;">1220 60th Street Playa del Sol, CA 95888</td> <td style="padding: 5px;">Dorleen Abrahms</td> </tr> </tbody> </table>					<small>COMMITTEE NAME AND I.D. NUMBER</small>	<small>COMMITTEE ADDRESS</small>	<small>NAME OF TREASURER</small>	Concerned Citizens ID #102046	1220 60th Street Playa del Sol, CA 95888	Dorleen Abrahms
<small>COMMITTEE NAME AND I.D. NUMBER</small>	<small>COMMITTEE ADDRESS</small>	<small>NAME OF TREASURER</small>								
Concerned Citizens ID #102046	1220 60th Street Playa del Sol, CA 95888	Dorleen Abrahms								
5. Verification <small>I declare under penalty of perjury that to the best of my knowledge I anticipate that I will receive less than \$1,000 and that I will spend less than \$1,000 during the calendar year and that I have used all reasonable diligence in preparing this statement. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.</small>										
<table style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: bottom;"> <small>Executed on</small> <div style="border-bottom: 1px solid black; width: 150px; margin-top: 5px;"></div> <small>[Date Required]</small> <small>DATE</small> </td> <td style="width: 50%; vertical-align: bottom;"> <small>By</small> <div style="border-bottom: 1px solid black; width: 150px; margin-top: 5px;"></div> <small>[Signature Required]</small> <small>SIGNATURE OF OFFICEHOLDER OR CANDIDATE</small> </td> </tr> </table>					<small>Executed on</small> <div style="border-bottom: 1px solid black; width: 150px; margin-top: 5px;"></div> <small>[Date Required]</small> <small>DATE</small>	<small>By</small> <div style="border-bottom: 1px solid black; width: 150px; margin-top: 5px;"></div> <small>[Signature Required]</small> <small>SIGNATURE OF OFFICEHOLDER OR CANDIDATE</small>				
<small>Executed on</small> <div style="border-bottom: 1px solid black; width: 150px; margin-top: 5px;"></div> <small>[Date Required]</small> <small>DATE</small>	<small>By</small> <div style="border-bottom: 1px solid black; width: 150px; margin-top: 5px;"></div> <small>[Signature Required]</small> <small>SIGNATURE OF OFFICEHOLDER OR CANDIDATE</small>									

How to Complete Form 470

Date of Election

If the candidate or officeholder is running in an election during the calendar year, indicate the month, day, and year of the election.

Period Covered

The period covered is always the calendar year.

Officeholder or Candidate Information

Provide the candidate/officeholder's name, a daytime telephone number, and a residential or business address. A post office box number, Mail Boxes Etc. street address, or some similar service's street address may not be used.

Office Held or Sought

Indicate the office being held and/or sought and provide the location and district number of the office, if applicable.

Committee Information

A candidate or officeholder who is aware of a primarily formed committee that is receiving contributions and making expenditures on behalf of his or her candidacy must disclose the primarily formed committee's name, identification number, address, and the name of the treasurer.

(Example) *Sunny Tyme's neighbors formed the Concerned Citizens' Committee for the purpose of getting her elected as mayor. Sunny is aware of the committee but has no involvement with its day-to-day activities. Sunny discloses this committee on her Form 470.*

Verification

The Form 470 is not considered filed if it is not signed. The officeholder/candidate must sign and date the form.

Answering Your Questions

Q. *What reporting period does the Form 470 cover?*

A. Form 470 is filed once each calendar year and covers the entire calendar year. When you file Form 470 covering the year of the election with your declaration of candidacy, or on or before the deadline for filing your first preelection statement, you do not need to file any additional campaign statements as long as neither your total receipts nor your total expenditures are \$1,000 or more during the calendar year.

Q. *If I am a non-incumbent candidate, am I required to file a Form 470 in connection with my election if I am running unopposed, my name does not appear on the ballot, and the only expenditure I make is from personal funds for a filing or ballot statement fee?*

A. No. A Form 470 is not required. However, once you assume office, a Form 470 may be required.

Q. *As a member of a county central committee, am I required to file a Form 470 for years when I will not appear on the ballot?*

A. In connection with your county central committee office, file the Form 470 only if you receive a contribution or make campaign expenditures of less than \$1,000 in a calendar year, or will appear on the ballot in that year.

Q. *If I am in a January election and will not raise or spend \$1,000 in connection with that election, when am I required to file Form 470?*

A. File Form 470 in the preceding November, the deadline for filing your first preelection statement in connection with the January election. In addition, if your second preelection statement is due

in January, another Form 470 must be filed. The reason for this is because a Form 470 is filed in each calendar year. The first Form 470 covers the calendar year preceding the election, and the second Form 470 covers the calendar year in which the election takes place.

Q. *I am running as a non-incumbent for city council in November 2008. I filed a Candidate Intention Statement (Form 501) and Statement of Organization (Form 410) to form a committee on May 1, 2008. If I have not raised or spent \$1,000 by June 30, 2008, should I file Form 470 or Form 460 by the July 31 semi-annual due date?*

A. Because you intend to raise \$1,000 or more during 2008, you should file Form 460. Form 470 is filed only when a candidate has not raised \$1,000 or more and does not intend to raise \$1,000 or more in the calendar year. (If you file Form 470 as a semi-annual statement and ultimately receive or spend \$1,000 or more during 2008, refer to the requirements for filing the Form 470 Supplement.)

Q. *I am a city council member and I closed my campaign committee in March. May I file the Form 470 for the statement due July 31?*

A. No. You may not file the Form 470 if you have had a committee open at any time during the calendar year, or intend to have one later in the year. You must continue filing the Form 460 as an officeholder for the remainder of the calendar year. The Form 470 may be filed the following calendar year if you do not have, nor intend to have, a committee for that entire calendar year.

Form 470 Supplement

Officeholder and Candidate Campaign Statement Form 470 Supplement (Government Code Section 84206)		Type or print in ink.	FORM 470 SUPPLEMENT
SEE INSTRUCTIONS ON REVERSE		<input type="checkbox"/> Amendment (Explain Below) <hr/> <hr/>	<div style="border: 1px solid black; padding: 5px;"> CALIFORNIA FORM 470 SUPPLEMENT For Official Use Only </div>
This form is written notification that the officeholder/candidate listed below has received contributions totaling \$1,000 or more or has made expenditures of \$1,000 or more during the calendar year.			
1. Officeholder or Candidate Information			
NAME OF OFFICEHOLDER OR CANDIDATE			
Sunny M. Tyme			
STREET ADDRESS			
200 McFadden Street			
CITY	STATE	ZIP CODE	
Playa del Sol	CA	95888	
AREA CODE/DAYTIME PHONE NUMBER		OPTIONAL: FAX / E-MAIL ADDRESS	
555/333-7421		555/333-7621/Styme@aol.com	
2. Office Sought			
OFFICE SOUGHT		DISTRICT NUMBER (IF APPLICABLE)	
City Council		1	
DATE OF ELECTION (MONTH, DAY, YEAR)			
6/6/20XX			
3. Date Contributions Totalling \$1,000 or More Were Received or Date Expenditures of \$1,000 or More Were Made			
4/6/20XX			
(MONTH, DAY, YEAR)			

Form 470 Supplement

If a candidate files a Form 470 covering a calendar year in which the candidate is running in an election (i.e., with the declaration of candidacy, in lieu of a first preelection statement, or for the June 30 semi-annual filing) and later receives contributions totaling \$1,000 or more, or makes expenditures totaling \$1,000 or more, prior to the election, the candidate must send a Form 470 Supplement or other written notice.

When and Where to File

The Form 470 Supplement must be filed within 48 hours of receiving or spending \$1,000.

The notification is sent to:

- Secretary of State's Office;
- Each candidate seeking the same office; and
- City or county clerk, or county registrar of voters, if the candidate is running for a city or county office.

Method of Delivery

The notification must be sent via guaranteed overnight delivery, personal delivery, or fax.

Content of Notification

The Form 470 Supplement is included in the Form 470, or the candidate may provide the following information on a blank piece of paper:

- The candidate's name, address, and daytime telephone number;
- The elective office sought and district number, if applicable;
- The date of the election; and
- The date contributions or expenditures totaling \$1,000 or more were received or made.

The candidate also must file a Statement of Organization (Form 410) and begin filing the Recipient Committee Campaign Statement (Form 460). (See Chapter 6.)

Answering Your Questions

- Q. *I am in an election in June of this year and filed a Form 470 for last year because I had activity in December. Am I required to file a 470 Supplement if I receive contributions totaling more than \$1,000 in January?*
- A. No. If you file a Form 470 in connection with your election (either with your declaration of candidacy or on the first preelection deadline), a Form 470 Supplement would be required if you raise or spend \$1,000 or more in the year of the election.

Statement of Organization (Form 410)

A person or group that receives \$1,000 or more in contributions in a calendar year qualifies as a recipient committee and must file Form 410. The Form 410 identifies the name of the committee and provides the public information regarding the committee's purpose and its officers.

When and Where to File

The original and one copy of the Form 410 is filed with the Secretary of State within 10 days of receiving \$1,000 or more.

Secretary of State
Political Reform Division
1500 11th Street, Suite 495
Sacramento, CA 95814

Candidates for local office and committees formed to support or oppose candidates for local offices also must file a copy of the Form 410 with the local filing officer (city clerk, county clerk/registrar of voters) with whom the committee will file its original campaign statements. (See Chapter 5.)

The Form 410 may be filed prior to raising \$1,000 and then must be amended within 10 days of reaching the \$1,000 threshold to

disclose the date qualified as a committee. (See below for how to amend a Form 410.)

Upon receipt of the Form 410, the Secretary of State's office will assign the committee an identification number. This number is used on all reporting forms. Once assigned, the identification number will be posted on the Secretary of State's website (www.sos.ca.gov) and written notification will be sent to the committee treasurer. Contact the Secretary of State's office at (916) 653-6224 with questions about obtaining a committee identification number.

Candidate Controlled Committees

Personal funds used to pay the filing and ballot statement fees do not count toward the \$1,000 threshold for qualifying as a committee. However, all other personal funds used in connection with the election are counted.

Example *On February 15, Megan Waters, a candidate for mayor, opened her campaign bank account with a personal loan of \$1,500. By February 25, Megan must either mail or personally deliver the Form 410 to the Secretary of State and a copy to the city clerk.*

Primarily Formed Committees

Example *A group of neighbors joined forces to help elect Sunny Tyme, a candidate for mayor. On March 1, the group received 10 checks of \$100 each. Because they qualified as a committee on that date, they must mail or personally deliver a Form 410 to the Secretary of State and a copy to the city clerk no later than March 11.*

24-Hour Deadline

A committee that qualifies during the last 16 days before the election must file Form 410, or the information required on the 410, within 24 hours of qualifying. The information must

be provided to the filing officer with whom the committee will be filing its original campaign disclosure statements, by fax, guaranteed overnight delivery, or personal delivery. In addition, an original Form 410 must be filed with the Secretary of State within 10 days of qualifying as a committee (regular mail may be used).

Example *Fourteen days before the city election, candidate Lilly Pond received a contribution of \$900, bringing her cumulative contributions received to date to \$1,250. Because she qualified as a committee within 16 days before her election, she must file the information contained on the Form 410 with her city clerk within 24 hours of qualifying as a committee. She must also file an original Form 410 within 10 days with the Secretary of State. Because she did not anticipate receiving or spending \$1,000 during the calendar year, Lilly filed a Form 470 as a first preelection statement. Within 48 hours, she must file the Form 470 Supplement with the Secretary of State, her city clerk, and provide a copy to all her opponents. The Form 470 Supplement must be sent to all recipients by guaranteed overnight delivery, fax, or personal delivery.*

Amendments

When any information on the Form 410 changes, an amendment must be filed within 10 days of the change. To amend:

- The “Amendment” box is checked at the top of the Form 410 and the committee’s identification number entered;
- The name of the committee must be provided;
- The information that has changed is included; and
- The verification is signed. In the case of a controlled committee, both the treasurer and the candidate(s) must sign.

Example *In January, Cynthia Doorman, a city council candidate, filed a Form 410 prior to qualifying as a committee. On February 10, Cynthia received a number of contributions totaling more than \$1,000. By February 20, Cynthia must have either mailed or personally delivered an amended Form 410 to the Secretary of State and a copy to her city clerk showing the date the committee qualified.*

24-Hour Deadline for Amendments

If, during the last 16 days before the election, the committee changes:

- The name of the committee;
- The treasurer or other principal officers;
- Any candidate who controls the committee; or
- Any committee with which the committee acts jointly,

the amended information must be filed within 24 hours with the filing officer with whom the committee files its original campaign statements. The information must be delivered by guaranteed overnight delivery, personal delivery, fax, or online transmission if the filing officer is capable of receiving notification in that manner. In addition, local committees must file an amended Form 410, with an original signature, with the Secretary of State within 10 days of the change.

Using Funds for a Future Election

Controlled Committee

An amendment to the Form 410 is required for a local candidate to “redesignate” a campaign committee and bank account for a future election to the same office. An incumbent intending to seek reelection may redesignate any time prior to receiving contributions in connection with reelection. A defeated candidate intending to run for the same office in a future election must redesignate the committee and bank account

Chapter 4 — Getting Started

before the end of the post-election reporting period. Failure to do so restricts the use of leftover campaign funds. (See Chapter 8 for further discussion.)

Examples *Dolores Sunghi was an unsuccessful candidate in the June election. Dolores must redesignate the committee and bank account no later than June 30 of the same year, the end of the post-election reporting period, if she wishes to use those funds for a future election.*

Joe Winner is seeking reelection to the city council. He wishes to use the same committee and bank account. In order to do so, Joe files a Form 410, checking the amendment box and indicating the year of the election. After filing the Form 501 for the new election, Joe is free to raise and deposit campaign contributions into the bank account.

A local candidate's committee and bank account may be redesignated for a future election only if:

- The future election is for the same elective office;
- The funds in the campaign bank account/committee are not considered "surplus campaign funds" (see Chapter 9);
- The candidate amends the committee's Form 410 to reflect the redesignation for the future election;
- The candidate files a new Form 501, Candidate Intention Statement, for the specific future election; and
- There are no local laws prohibiting the redesignation.

Primarily Formed Committee

A primarily formed committee may remain open after the election to support or oppose other candidates or ballot measures. The Form 410 should be amended to reflect the

change in the "Type of Committee." (See instructions on the Form 410 or contact the FPPC to discuss what type of committee will be formed.)

Termination

The Form 410 is also used to terminate a committee. In order to terminate, the committee may no longer be receiving contributions or making expenditures, and must have disposed of all funds and filed all required campaign reports. To terminate:

- Check the "Termination" box at the top of the Form 410 and enter the committee's identification number;
- Enter the name of the committee; and
- Sign the verification. For a controlled committee, both the treasurer and the candidate must sign.

Form 410 Statement of Organization

Statement of Organization Recipient Committee		Type or print in ink		Date Stamp		STATEMENT OF ORGANIZATION CALIFORNIA FORM 410 For Official Use Only	
Statement Type		<input checked="" type="checkbox"/> Initial Not yet qualified <input type="checkbox"/> or	<input type="checkbox"/> Amendment List I.D. number: # _____	<input type="checkbox"/> Termination – See Part 5 List I.D. number: # _____			
9 / 5 / 20XX Date qualified as committee		_____ Date qualified as committee (if applicable)		_____ Date of Termination			
1. Committee Information				2. Treasurer and Other Principal Officers			
NAME OF COMMITTEE Committee to Elect Waters Mayor				NAME OF TREASURER Ben Rogers			
STREET ADDRESS (NO P.O. BOX) 10 Parkway Plaza				STREET ADDRESS 10 Parkway Plaza			
CITY Playa del Sol	STATE CA	ZIP CODE 95888	AREA CODE/PHONE 555/333-5432	CITY Playa del Sol	STATE CA	ZIP CODE 95888	AREA CODE/PHONE 555/333-5432
MAILING ADDRESS (IF DIFFERENT)				NAME OF ASSISTANT TREASURER, IF ANY Megan Waters			
OPTIONAL: FAX / E-MAIL ADDRESS Brogers@jps.net				STREET ADDRESS 100 Sandburg Street			
COUNTY OF DOMICILE Beach	COUNTY WHERE COMMITTEE IS ACTIVE IF DIFFERENT THAN COUNTY OF DOMICILE			CITY Playa del Sol	STATE CA	ZIP CODE 95888	AREA CODE/PHONE 555/333-1601
N/A				NAME AND POSITION OF OTHER PRINCIPAL OFFICER(S), IF APPLICABLE			
				MAILING ADDRESS			
				CITY STATE ZIP CODE AREA CODE/PHONE			
Attach additional information on appropriately labeled continuation sheets.							
3. Verification							
I have used all reasonable diligence in preparing this statement and to the best of my knowledge the information contained herein is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.							
Executed on _____ [Date Required]		By _____ [Signature Required]		SIGNATURE OF TREASURER OR ASSISTANT TREASURER		[Signature Required]	
Executed on _____ [Date Required]		By _____ [Signature Required]		SIGNATURE OF CONTROLLING OFFICER/HOLDER, CANDIDATE, OR STATE MEASURE PROPONENT		[Signature Required]	

How to Complete Form 410

Statement Type

Check the “Initial” box if this is the first filing and indicate the date on which the committee met the \$1,000 threshold, or check the “Not Yet Qualified” box.

Check the “Amendment” box to amend information on an existing Form 410, e.g., to report the date the committee qualified as a committee, or to redesignate the committee or bank account for a future election.

Check the “Termination” box to close the campaign committee. The committee’s campaign filing obligations will continue until it meets the requirements to terminate and files a Form 410, checking the “Termination” box. (See Chapter 8.)

Committee Name

Provide the full name of the committee. A controlled committee must include in its name the last name of the controlling candidate.

Committees established by an officeholder to defend against a recall attempt must include the term “recall” in the committee name.

If a primarily formed committee is sponsored by a business entity, organization, or association, the name of the sponsor must be included in the name of the committee. (See later in this chapter for the definition of “sponsored committee.”)

Committee Address

Use a street address as the address of the committee. A post office box may be used as a mailing address. The committee may have more than one mailing address.

County of Domicile

Indicate the county in which the committee is located. This may be different than the county in which the committee is active.

(Example) Joy O. Cooking is running for the Board of Supervisors in Sierra County. However, the committee’s address is in Plumas County where her treasurer has

his office. The Form 410 reports Plumas County as the “County of Domicile” and Sierra County under “County Where Committee is Active if Different than County of Domicile.” Statements are filed in both locations.

Treasurer, Assistant Treasurer, and Other Principal Officers

The committee must have a treasurer and may have an assistant treasurer. Report the names of the treasurer and assistant treasurer along with their mailing addresses and phone numbers. If the committee has principal officers, other than the treasurers, list each officer’s full name, position held, and street address.

If a candidate chooses to be his or her own treasurer, list the name, mailing address, and telephone number of the candidate.

Remember that for statements requiring signatures of the candidate and treasurer, the candidate must sign on both lines.

Verification

The Form 410 is not considered filed if it is not signed. The treasurer, or assistant treasurer, must sign the verification. In the case of a controlled committee, both the treasurer or assistant treasurer and the candidate/officeholder must sign.

When two or three candidates control a committee, each candidate must sign the verification. If more than three candidates control the committee, one of the candidates may sign on behalf of all controlling candidates.

Form 410
Statement of
Organization
Page 2

Statement of Organization Recipient Committee			STATEMENT OF ORGANIZATION CALIFORNIA FORM 410	
INSTRUCTIONS ON REVERSE			Page 2	
COMMITTEE NAME Committee to Elect Waters Mayor			I.D. NUMBER	
4. Type of Committee Complete the applicable sections.				
Controlled Committee <ul style="list-style-type: none"> List the name of each controlling officeholder, candidate, or state measure proponent. If candidate or officeholder controlled, also list the elective office sought or held, and district number, if any, and the year of the election. List the political party with which each officeholder or candidate is affiliated or check "non-partisan." If this committee acts jointly with another controlled committee, list the name and identification number of the other controlled committee. 				
NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROPONENT	ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)	YEAR OF ELECTION	PARTY	
Megan Waters	Mayor	20XX	<input checked="" type="checkbox"/> Non-Partisan	
<ul style="list-style-type: none"> List the financial institution where the campaign bank account is located (controlled "candidate election" committees only) 				
NAME OF FINANCIAL INSTITUTION Playa Bank	AREA CODE/PHONE 555/616-3200	BANK ACCOUNT NUMBER 030558		
ADDRESS 1611 Sandy Way	CITY Playa del Sol	STATE CA	ZIP CODE 95888	
Primarily Formed Committee Primarily formed to support or oppose specific candidates or measures in a single election. List below:				
CANDIDATE(S) NAME OR MEASURE(S) FULL TITLE (INCLUDE BALLOT NO. OR LETTER)	CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)		CHECK ONE	
N/A			SUPPORT <input type="checkbox"/> OPPOSE <input type="checkbox"/>	

Type of Committee

Controlled Committee

Candidates must complete this section. A candidate may not establish more than one committee per election to a specific office. Since all local elections in California are non-partisan, check the "Non-Partisan" box in the "Party" column.

Example *Henry Black formed a committee for the office of mayor. Four years later, he plans to seek reelection to the same office. Henry may use his previous committee for mayor or he may form a new committee. After his last election for mayor, Henry decides to run for State Senate. Henry must form a new committee for the Senate election. This is the only committee he may control in connection with seeking the Senate seat that year.*

Name of Financial Institution

Report the name and complete address of the financial institution where the

committee's campaign bank account is located, as well as the campaign bank account number. If a bank account has not been opened at the time of filing an "Initial" Form 410, amend the Form 410 within ten days of opening the bank account to provide this information.

Committees Controlled by Two or More Candidates

If two or more candidates form one committee to support their candidacies for elective office, they must:

- Each file the Form 501;
- File one Statement of Organization (Form 410);
- Establish one bank account for the committee (each candidate must deposit all contributions and make all expenditures from this bank account);
- File one Recipient Committee Campaign Statement (Form 460) disclosing receipts and expenditures each time the statement is due.

Primarily Formed Committee

Complete this section for a non-controlled committee whose principal activity is raising or spending money to support or oppose a specific candidate or a group of specific candidates all being voted upon in the same election on the same date.

Sponsored Committee

If the committee is sponsored by an entity, provide the name and address of the sponsor. In addition, indicate the industry group or affiliation of the sponsor. Individuals do not sponsor committees.

An entity sponsors a committee if any of the following criteria apply:

- The committee receives 80% or more of its contributions from the entity or its members, officers, employees, or shareholders.
- The entity collects contributions for the committee through payroll deductions or dues from its members, officers, or employees.
- The entity, alone or in combination with other organizations, provides all or nearly all of the administrative services for the committee.
- The entity, alone or in combination with other organizations, sets the policies for contribution solicitation or payment of expenditures from committee funds.

Answering Your Questions

Q. *Must we wait until \$1,000 is received to file a Form 410?*

A. No. You may file a Form 410 prior to committee qualification. Check the box “Not Yet Qualified.” Once you have reached the \$1,000 threshold, file an amendment reporting the date the committee qualified.

Q. *May our committee use a mail receiving and forwarding service, such as Mail Boxes Etc., as the committee’s street address on the Form 410?*

A. No. A post office box or lock box number is not acceptable as a street address. You may use a post office box address on a mass mailing as long as you indicated this address as your mailing address on the Form 410.

Q. *As a candidate, may I be designated treasurer on the Form 410?*

A. Yes, you may be the treasurer or assistant treasurer.

Q. *May more than one candidate control a single committee to run for office?*

A. Yes. Each candidate should file a Form 501 prior to raising or spending any money. For both Form 410 and Form 460, each candidate must sign the verification, in addition to the treasurer or assistant treasurer. If the committee is controlled by more than three candidates, one candidate may sign on behalf of the other candidates.

Q. *I am an officeholder and the target of a recall election. I have formed a separate committee to oppose the recall. On the Form 410, what sections do I complete under Part 4 — Type of Committee?*

A. You should complete both the Controlled Committee and Primarily Formed Committee sections. Be sure to include the word “recall” in the name of the committee.

Q. *I am running as a replacement candidate on a recall ballot. On the Form 410, what sections do I complete under Part 4— Type of Committee?*

A. You should complete the Controlled Committee section.

Candidate Statement of Economic Interests (Form 700)

In addition to filing reports of their campaign finances, most candidates are required to disclose certain personal financial interests under the Political Reform Act's conflict of interest rules by completing a Statement of Economic Interests (Form 700). Investments and real property held on the day the declaration of candidacy is due, as well as income received during the 12 months prior to the date of filing the declaration of candidacy, must be reported. This statement is due no later than the final filing date for the declaration of candidacy. Candidates file the Form 700 with the city clerk or registrar of voters where the declaration of candidacy is filed.

Authority

The following Government Code sections and Title 2 regulations provide authority for the preceding information in this chapter:

Government Code Sections

- 81004 *Reports and Statements; Perjury; Verification.*
- 81004.5 *Reports and Statements; Amendments.*
- 81007 *Mailing of Report or Statement.*
- 82007 *Candidate.*
- 82013 *Committee.*
- 82016 *Controlled Committee.*
- 82025 *Expenditure.*
- 82044 *Payment.*
- 82047.5 *Primarily Formed Committee.*
- 82048.7 *Sponsored Committee.*
- 84101 *Statement of Organization; Filing.*
- 84102 *Statements of Organization; Contents.*
- 84103 *Statement of Organization; Amendments.*
- 84106 *Sponsored Committee; Identification.*
- 84200 *Semi-Annual Statements.*

- 84200.3 *Odd-Year Reports in Connection with a Statewide Direct Primary Election Held in March of an Even-Numbered Year.*
- 84200.5 *Preelection Statements.*
- 84200.6 *Special Campaign Statements and Reports.*
- 84200.7 *Time for Filing Preelection Statements for Elections Held in June or November of an Even-Numbered Year.*
- 84200.8 *Time for Filing Preelection Statements for Elections Not Held in June or November of an Even-Numbered Year.*
- 84206 *Candidates Who Receive or Spend Less than \$1,000.*
- 84214 *Termination.*
- 84215 *Campaign Reports and Statements; Where to File.*
- 85200 *Statement of Intention to be a Candidate.*
- 85201 *Campaign Bank Account.*
- 87201 *Candidates (Statement of Economic Interests).*

Title 2 Regulations

- 18402 *Committee Name.*
- 18404 *Termination of Candidate's and Committees' Filing Requirements.*
- 18406 *Short Form for Candidates or Officeholders Who Receive and Spend Less than \$1,000 in a Calendar Year.*
- 18419 *Sponsored Committees.*
- 18430 *Committee Controlled by More Than One Candidate.*
- 18520 *Statement of Intention to Be a Candidate.*
- 18521 *Establishment of Separate Controlled Committee for Each Campaign Account.*
- 18531.5 *Recall Elections.*